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09/391,772	09/08/1999	WALTER V. DIXON III	RD-27.422	9058

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EXAMINER

COLBERT, ELLA

ART UNIT

PAPER NUMBER

3624

DATE MAILED: 07/05/2002

Please find below and/or attached an Office communication concerning this application or proceeding.

# Office Action Summary

Application No.

09/391,772

Applicant(s)

DIXON ET AL.

Examiner

Ella Colbert

Art Unit

3624

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

## Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

## Status

- 1) ☒ Responsive to communication(s) filed on 08 September 1999.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

## Disposition of Claims

- 4) ☒ Claim(s) 1-9 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-9 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

## Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 08 September 1999 is/are: a) ☐ accepted or b) ☒ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on \_\_\_\_\_ is: a) ☐ approved b) ☐ disapproved by the Examiner.
- If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

## Priority under 35 U.S.C. §§ 119 and 120

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
- a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

## Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO-1449) Paper No(s) 5.
- 4) ☐ Interview Summary (PTO-413) Paper No(s). \_\_\_\_\_
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_\_

## DETAILED ACTION

### *Drawings*

1. The drawings are objected to because in fig. 3, steps 115, 117, & 119 have illegible labeling, fig. 19, steps 14, 102, & 500, fig. 21, steps 560, 562, 564, 566, 568, 570, 572, 574, 576, & 578, fig. 23, steps 700, 702, 704, 706, 708, & 710, fig. 25, steps 800, 802, & 804, fig. 26, steps 840, 842, & 844, fig. 27, steps 880, 882, & 884 have a similar problem.

Fig. 16 & fig. 17 have step 400 (virtual printer) missing in the drawing figures.

The drawings are objected to as failing to comply with 37 CFR 1.84(p)(5) because they include the following reference sign(s) not mentioned in the description: fig. 3, steps 28, 26, & 30, fig. 16, step 368, fig. 17, step 388, & fig. 21, step 618. A proposed drawing correction, corrected drawings, or amendment to the specification to add the reference sign(s) in the description, are required in reply to the Office action to avoid abandonment of the application. The objection to the drawings will not be held in abeyance.

The drawings are objected to as failing to comply with 37 CFR 1.84(p)(4) because step "102" has been used to designate both "process management & workflow" and "process management & workflow manager", document management & workflow process engine in fig. 3. Fig. 3, step "22" has been used to designate both "mail server" and "E-mail server", step "112" has been used to designate both "Loan Management System" and "ABLE", and step "124" has been designated both "Generate Exhibits" and "Exhibits". Fig. 5, step "142" has been designated both "AssetBasedLoan"

Art Unit: 3624

and "ABL type loans". Fig. 14, step "330" has been designated both "received report stored in database" and "stored report". Fig. 15 has a similar problem. Fig. 18, step "404" has been designated both "graphical display interface" and "GD132". Fig. 18, step "406" has been designated both "spooler interface" and "Common Property Sheet UI".

The drawings are objected to as failing to comply with 37 CFR 1.84(p)(4) because reference characters "144" and "146" have been used to designate "Accounts Payable" and reference characters "146" and "144" "Accounts Receivable". Figures 10 and 12 have a similar problem. A proposed drawing correction or corrected drawings are required in reply to the Office action to avoid abandonment of the application. The objection to the drawings will not be held in abeyance.

### ***Claim Rejections - 35 USC § 103***

2. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

3. Claims 1-5, 8, and 9 are rejected under 35 U.S.C. 103(a) as being unpatentable over (US 5,864,871) Kitain et al, hereafter Kitain.

With respect to claim 1, Kitain teaches, a method for submitting a report from an accounting system to a server, a local file system coupled to the accounting system and accessible by a browser (col. 2, lines 4-14, col. 7, lines 4-13, col. 9, lines 26-34, col. 11, lines 45-59, col. 13, lines 15-22, col. 14, lines 3-13, and col. 47, lines 64-67, & fig. 8),

Art Unit: 3624

method comprising: Kitain teaches, exporting the report and a local file system (col. 6, lines 62-67 and col. 7, lines 1-19); and submitting the report from the local file system to the server using the browser (col. 11, lines 54, col. 13, lines 15-22, col. 14, lines 3-13, col. 47, lines 64-67, & fig. 8). Kitain did not teach, an accounting system, however an accounting system by definition is the methods, procedures, & standards followed in accumulating, classifying, recording, & reporting business events & transactions. The accounting system includes the formal records & original source data. Regulatory requirements may exist on how a particular accounting system is to be maintained (e.g. insurance company).

With respect to claim 2, Kitain teaches, submitting the report comprises attaching the report to a web form (col. 8, lines 15-27 and col. 10, lines 27-45).

With respect to claim 3, Kitain teaches, transcribing summary information from the report to a web form to generate an exhibit (col. 8, lines 28-50, col. 11, lines 55-67, and col. 12, lines 1-15).

With respect to claim 4, Kitain teaches, the exhibit is generated using automated processes (col. 8, lines 1-13).

With respect to claim 5, Kitain teaches, print scraping information from the report (col. 5, lines 28-36).

With respect to claim 8, Kitain teaches, a local file system (col. 11, lines 43-54) and a server (col. 12, lines 62-67) for communicating, the system configured so that a report can be transmitted (col. 3, lines 55-67 and col. 32, lines 1-20).

This independent claim is rejected for the similar rationale given for claim 1.

Art Unit: 3624

With respect to claim 9, Kitain teaches, the local file system is accessible by a browser (col. 33, lines 49-55).

***Claim Rejections - 35 USC § 103***

4. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

5. Claims 6 and 7 are rejected under 35 U.S.C. 103(a) as being unpatentable over (US 5,864,871) Kitain et al, hereafter Kitain in view of (US 6,369,907) Aoki.

With respect to claim 6, Kitain teaches, a method for submitting a report (col. 7, lines 4-13), a server (col. 9, lines 26-34), the method comprising the step of transmitting a report (col. 10, lines 26-45). Kitain did not teach, a virtual printer.

Aoki discloses, a virtual printer (col. 1, lines 60-67 and col. 2, lines 1-14).

It would have been obvious to one having ordinary skill in the art at the time the invention was made to have a virtual printer and to modify in Kitain because such a modification would allow Kitain to have an information determination unit which determines whether another or at least one other device is available to support a functional upgrade of the printer itself based upon the ability information which was transmitted from other devices connected to the network in response to the inquiry for the ability information, and determines its printer's own virtual printer information.

Neither Kitain nor Aoki teach an accounting system, however an accounting system by definition is the methods, procedures, & standards followed in accumulating, classifying,

Art Unit: 3624

recording, & reporting business events & transactions and is inherent to the system.

The accounting system includes the formal records & original source data. Regulatory requirements may exist on how a particular accounting system is to be maintained (e.g. insurance company).

With respect to claim 7, Kitain teaches, print scraping information from the report (col. 5, lines 28-36).

### ***Conclusion***

6. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure. Applicant is request to review the prior art of record prior to responding to this communication.

Couger, Daniel J., "Evolution of Business System Analysis Techniques," discloses files and an accounting system.

Ryan et al (US 6,205,434) discloses generating reports and an accounting system.

### ***Inquiries***

7. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Ella Colbert whose telephone number is 703-308-7064. The examiner can normally be reached on Monday-Thursday from 6:30 am -5:00 pm.

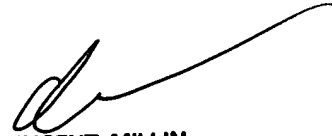
If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Vincent Millin can be reached on 703-308-1038. The fax phone numbers for the organization where this application or proceeding is assigned are 703-305-7687 for regular communications and 703-746-5622 for After Final communications.

Art Unit: 3624

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is 703-308-1113.



E. Colbert  
June 30, 2002



VINCENT MILLIN  
SUPERVISORY PATENT EXAMINER  
TECHNOLOGY CENTER 3600